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Philadelphia, PA 19103  
U.S.A

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DATE: August 27, 2007

TO: Commissioner of (571) 273-8300 United States Patent and  
Patents Trademark Office

FROM: John W. Goldschmidt, Jr.

NO. OF PAGES: 19

CLIENT/MATTER: 22830-67061

USER ID NUMBER: 1181

COMMENTS: Inventor: William F. Walsh  
Appln. No.: 09/588,389  
Filing Date: June 6, 2000  
Title: METHOD, APPARATUS AND COMPUTER-BASED PROGRAM FOR  
EXCLUSIVE INVESTMENT OF DEBENTURE CREDIT  
Docket No: 05-1076  
C/M Ref. No. 22830-67061  
Facsimile Transaction Date: August 27, 2007 Atty/staff: JWG/sac

The U.S. Patent and Trademark Office acknowledges and has stamped hereon the date of receipt of the following items: Return Facsimile Cover Sheet (1 page); Transmittal Letter (1 page); Transmittal Form (1 page); Fee Transmittal Form (1 page); Petition for Extension of Time Under 37 C.F.R. 1.136(a) (1 page); Amendment (13 pages); - all filed via facsimile to Patent Central Fax (571) 273-8300.

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DATE: October 11, 2007

TO: Refund Branch (571) 273-6500

United States Patent and  
Trademark Office

FROM: John W. Goldschmidt, Jr.

NO. OF PAGES: 22

CLIENT / MATTER: 22830-67061

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Facsimile Transaction Date: October 11, 2007 Atty/staff: JWG/sac

The U.S. Patent and Trademark Office acknowledges and has stamped hereon the date of receipt of the following items: Return Facsimile Cover Sheet (1 page); Request of Refund (2 pages); Courtesy Copy of Submission of August 27, 2007 (19 pages); - all filed via facsimile to (571) 273-6500.

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AUG 27 2007

PTO/SB/17 (04-07)

Approved for use through 04/30/2007. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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Effective on 12/08/2004.  
Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).**FEE TRANSMITTAL**  
**For FY 2007**☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 510

**Complete If Known**

Application Number 09/588,389

Filing Date June 6, 2000

First Named Inventor William F. Walsh

Examiner Name Samuel Wies

Art Unit 3691

Attorney Docket No. 05-1076

**METHOD OF PAYMENT (check all that apply)**☐ Check ☒ Credit Card ☐ Money Order ☐ None ☐ Other (please identify):☒ Deposit Account Deposit Account Number: 50-0979 Deposit Account Name: Dilworth Paxson LLP

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

☐ Charge fee(s) indicated below☐ Charge fee(s) indicated below, except for the filing fee☒ Charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17☒ Credit any overpayments

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**FEE CALCULATION****1. BASIC FILING, SEARCH, AND EXAMINATION FEES**

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid (\$)
	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	
Utility	300	150	500	250	200	100	
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	

**2. EXCESS CLAIM FEES****Fee Description**

Each claim over 20 (including Reissues)

Fee (\$) 50

Small Entity Fee (\$) 25

Each independent claim over 3 (including Reissues)

Fee (\$) 200

Small Entity Fee (\$) 100

Multiple dependent claims

Fee (\$) 360

Small Entity Fee (\$) 180

Total Claims Extra Claims Fee (\$) Fee Paid (\$)

25 - 20 or HP = -7 x 25 = 0

HP = highest number of total claims paid for, if greater than 20.

Indep. Claims Extra Claims Fee (\$) Fee Paid (\$)

3 - 3 or HP = -7 x 100 = 0

HP = highest number of independent claims paid for, if greater than 3.

**3. APPLICATION SIZE FEE**

If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

Total Sheets Extra Sheets Number of each additional 50 or fraction thereof Fee (\$) Fee Paid (\$)

- 100 / 50 = (round up to a whole number) x =

**4. OTHER FEE(S)**

Non-English Specification, \$130 fee (no small entity discount)

Fees Paid (\$)

Other (e.g., late filing surcharge), Petition for Extension of Time (3 Months), and Information Disclosure Statement

**SUBMITTED BY**

Signature

Registration No. 34,828  
(Attorney/Agent)

Telephone 215-575-7000

Name (Print/Type) John A. Goloschmidt, Jr.

Date August 27, 2007

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments or suggestions for this form and/or instructions for reduction in burden should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20590.

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PTO/SB/17 (04-07)

Approved for use through 04/30/2007. OMB 0651-0032

U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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Effective on 12/08/2004. Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818). <b>FEE TRANSMITTAL</b> <b>For FY 2007</b>		<b>Complete if Known</b> Application Number <b>09/588,388</b> Filing Date <b>June 8, 2000</b> First Named Inventor <b>William F. Walsh</b> Examiner Name <b>Samuel Wies</b> Art Unit <b>3691</b> Attorney Docket No. <b>05-1076</b>	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27			
TOTAL AMOUNT OF PAYMENT (\$) <b>510</b>			

**METHOD OF PAYMENT** (check all that apply)

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☒ Deposit Account Deposit Account Number: **50-0979** Deposit Account Name: **Dilworth Paxson LLP**

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**FEE CALCULATION**

**1. BASIC FILING, SEARCH, AND EXAMINATION FEES**

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid (\$)
	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	
Utility	300	150	500	250	200	100	
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	

**2. EXCESS CLAIM FEES**

Fee Description	Fee (\$)	Small Entity Fee (\$)
Each claim over 20 (including Reissues)	50	25
Each independent claim over 3 (including Reissues)	200	100
Multiple dependent claims	360	180

Total Claims 25 - 20 or HP = 7 x 25 = 0  
 HP = highest number of total claims paid for, if greater than 20.  
 Indep. Claims 3 - 3 or HP = 7 x 100 = 0  
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Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof	Fee (\$)	Fee Paid (\$)
<u>25</u>	<u>7</u>	<u>1</u>	<u>250</u>	<u>250</u>

**4. OTHER FEE(S)**

Non-English Specification, \$130 fee (no small entity discount)

Other (e.g., late filing surcharge): Patent for Extension of Time (3 Months); and Information Disclosure Statement

SUBMITTED BY:		
Signature 	Registration No. <b>34,828</b> (Attorney/Agent)	Telephone <b>215-575-7000</b>
Name (Print/Type) <b>John W. Goldschmidt, Jr.</b>	Date <b>August 27, 2007</b>	

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**DILWORTH PAXSON LLP**

LAW OFFICES

DIRECT DIAL NUMBER:  
(215) 575-7181JOHN W. GOLDSCHMIDT, JR.  
jgoldschmidt@dilworthlaw.com

August 27, 2007

**VIA TELEFAX**Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

RE: U.S. Patent Application Serial No.: 09/588,389  
Entitled: METHOD, APPARATUS AND COMPUTER-BASED PROGRAM FOR  
EXCLUSIVE INVESTMENT OF DEBENTURE CREDIT  
Inventor: William F. Walsh  
Attorney Docket No.: 05-1076

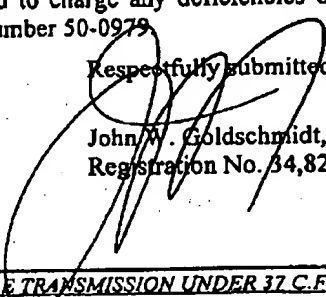
Dear Sir:

In reference to the above-captioned application, enclosed herewith are the following:

1. Transmittal Form (1 page);
2. Fee Transmittal Form (1 page);
3. Petition for Extension of Time Under 37 C.F.R. 1.136(a) (1 page);
4. Amendment (13 pages);
5. Credit Card Authorization Form (1 page); and
6. Facsimile Cover Sheet for Auto Reply Facsimile Transmission (1 page).

The Commissioner is hereby authorized to charge any deficiencies or credit any overpayment related to this submission to Deposit Account Number 50-0979.

Respectfully submitted,

  
John W. Goldschmidt, Jr.  
Registration No. 34,828JWG/sac  
Enclosures**CERTIFICATE OF FACSIMILE TRANSMISSION UNDER 37 C.F.R. § 1.8**

I hereby certify that this correspondence, and all papers and things referred to herein as being attached, enclosed, transmitted, or otherwise submitted, are being facsimile transmitted to the U.S. Patent and Trademark Office at (571) 273-8300 on the date set forth below.

  
Steven A. Cobb

Date: August 27, 2007

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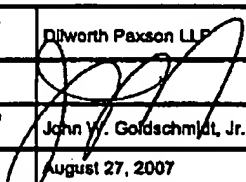
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<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	Application Number	09/580,389	
	Filing Date	June 6, 2000	
	First Named Inventor	William F. Walsh	
	Art Unit	3691	
	Examiner Name	Samuel Wells	
Total Number of Pages in This Submission	18	Attorney Docket Number	05-1078

ENCLOSURES (Check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance Communication to TC
<input checked="" type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input checked="" type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation	<input type="checkbox"/> Status Letter
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<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	Transmittal Letter; Credit Card Authorization Form; Return Facsimile Cover Sheet
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	
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<b>SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT</b>		
Firm Name	Dilworth Paxson LLP	
Signature		
Printed name	John W. Goldschmidt, Jr.	
Date	August 27, 2007	Reg. No. 34,828

CERTIFICATE OF TRANSMISSION/MAILING		
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:		
Signature		
Typed or printed name	Steven A. Cobb	Date August 27, 2007

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